

PUBLIC AND INDIAN HOUSING  
DRUG ELIMINATION  
TECHNICAL ASSISTANCE (TA) PROGRAM

Fiscal Year 1997

***APPLICATION KIT***

APPLICATION DUE DATE:

Applications for this program will be accepted  
until all available funds have been expended,  
or until July 15, 1997 whichever is first.

**NOTE NEW DEADLINE**

U.S. Department of Housing and Urban Development  
Office of Public and Indian Housing  
Office of Community Relations and Involvement  
Office of Crime Prevention and Security  
451 Seventh Street, S.W., Room 4112  
Washington, DC 20410

*Technical Assistance Clearinghouse: (301) 251-5400 or (800) 578-3472*

OMB Control Number 2577-0133

## **INTRODUCTION**

This application kit should be used to apply for consultant assistance under the Public Housing Drug Elimination Technical Assistance Program, of the Office of Crime Prevention and Security (OCPS), Department of Housing and Urban Development (HUD). The kit includes the following:

### **Section I: Background and General Information**

This section provides background information on the program, how applications are scored and funds awarded the technical assistance (TA) process, and eligible and ineligible activities.

### **Section II: Application Information & Instructions**

This section contains the blank forms necessary to complete the application, information and instructions on the proper completion of these forms, and information on where to submit the completed application.

As a convenience to the applicant, the Notice of Funding Availability (NOFA) is included here as Attachment A. To assist the reader, references to sections of the NOFA are printed in *italics*.

### **Section III: Application Forms**

This section contains information on how to fill out the application, including the application letter, certification sheet, and HUD Form 2880. In addition, an AApplication Checklist has been provided for your convenience to ensure that all necessary parts of the application kit have been completed.

The collection of information is authorized by the Departments of Veterans Affairs and Housing and Urban Development and Independent Agencies Appropriations Act, 1997 (P.L.104-204, approved September 26, 1996). HUD will publish a Notice of Funding Availability (NOFA) for short-term technical assistance funding. The information provided to HUD by the eligible applicants will be reviewed and evaluated to ensure that they are in compliance with technical assistance program requirements and will be used to determine eligibility for program participants.

Public reporting burden for this collection of information is estimated to average 82 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Reports Management Officer, Paperwork Reduction Project (2577-0133), Office of Information Technology, U.S. Department of Housing and Urban Development, Washington, D.C. 20410-3600.

**DO NOT SEND THIS APPLICATION KIT TO THE ABOVE ADDRESS.**

This agency may not collect this information, and you are not required to provide this information, including the forms, unless they display a currently valid OMB control number.

To the extent that any information collected is a confidential nature, there will be compliance with Privacy Act requirements. However, the Technical Assistance Application does not request the submission of such information.

Warning: HUD will prosecute false claims and statements. Conviction may result in criminal and/or civil penalties. (18 U.S.C. 1001, 1010, 1012; 31 U.S.C. 3729, 3802).

## **SECTION I: BACKGROUND AND PROGRAM INFORMATION**

### **The Program**

To assist housing authorities and eligible resident councils immediately respond to drug and crime- related problems in housing developments, HUD has supplemented the Public Housing Drug Elimination Program (PHDEP) with opportunities for short-term technical assistance (TA). The TA Program is intended to provide short-term, immediate consultant assistance to both housing authorities (HAs) and resident councils that are developing and/or implementing their drug elimination strategies. To assist housing authorities and resident councils, the program funds efforts in:

- # Assessing drug problems in targeted housing developments and surrounding community (ies).
- # Designing and identifying appropriate anti-drug and anti-crime related practices and programs.
- # Training HA staff and residents in potential anti-drug and anti-crime related practices, programs and management techniques.
- # Improving overall management, operations, and programming so the applicant can more effectively respond to drug problems in the targeted public housing development(s).

The program pays for the services of a consultant to travel to the HA or development and to provide on-site assistance. HUD pays all the bills. No successful applicants receive funds; instead they receive the services of a consultant paid for by HUD.

Also, the program does not fund speakers or conferences and will not pay for any consultant activities deemed ineligible in the PHDEP, such as proposal writing, purchasing hardware or equipment, or program implementation activity. For a complete list of eligible and ineligible activities please refer to **Section 1(c)(3) of the NOFA**.

### **Eligible Applicants**

Public housing authorities (PHAs), Indian housing authorities (IHAs), incorporated resident councils (RCs), resident organizations (ROs), and resident management corporations (RMCs) are eligible to receive short-term technical assistance services under this NOFA. For further information on eligible applicants please refer to **Section 1(c)(1) of the NOFA**.

## The TA Process

1. All eligible applications are scored by OCPS. Applications that receive 15 or more points will be approved for funding on a first-come, first-served basis. Approved applications will then be assessed to determine which consultants, on the OCPS approved Consultants Database possess the requisite skills and knowledge to assist the requesting agency. Designated staff will then recommend at least three consultants to the applicant. For further clarification on this procedure please refer to Section **1(e)(2)(iii) of the NOFA**. The information provided to HUD by the eligible applicants will be reviewed and evaluated by HUD to ensure that they are in compliance with Technical Assistance Program requirements and will determine eligibility for program participation.
2. The TA applicant will then speak to at least three of the consultants recommended to them. If none of the consultants on the list appear to be qualified to perform the TA, the agency may request a list of additional consultants. Applicants may not recommend a consultant(s) as part of their TA application; designated staff will make recommendations based on published program guidelines. After the TA applicant makes their consultant selection and forwards their recommendation to OCPS, designated staff will review the selection and make final approval of the consultant choice. The information provided to HUD will help ensure that the most desired and appropriate consulting services are provided to the applicant.
3. Technical assistance staff will then contact the selected consultant to request a Statement of Work (SOW) which supports the applicant's TA request. After TA staff and the selected consultant have negotiated the SOW, it will be submitted to the requesting agency for final approval. After final approval is given by the requesting agency, designated staff will negotiate a contract with the consultant and work may commence after the consultant receives an approved purchase order. **Work completed prior to the consultant receiving a purchase order will not be reimbursed. It is the joint responsibility of the agency receiving assistance and the consultant to determine if HUD has approved the work and issued an official purchase order.** The information provided to HUD will assist in assuring that the Department and the applicant receives the best and most appropriate services at the best possible cost.
4. Upon completion of the TA the consultant is required to submit a final report and invoice to OCPS for approval. OCPS staff will then contact the requesting agency to complete a short evaluation of the TA. After determining that the requesting agency is satisfied with the assistance provided, and the consultants final report meets OCPS standards, the contract is considered complete and payment is issued to the consultant. **Note: HUD will not make partial payments to consultants for fees and expenses. Full payments will be issued upon HUD approval of the TA work.** The information provided to HUD and the applicant will document the services provided, and provide the justification for payment.
5. Six months following the completion of the TA the requesting agency will be asked to

complete a six-month evaluation. This evaluation is designed to gather information on the effectiveness of the TA with regard to the requesting agency's drug elimination efforts. This evaluation also assists OCPS staff in improving the TA program.

For steps 1-5, HUD estimates the following report burden:

<u>Step</u>	<u>Number of Respondents</u>	<u>Frequency of Response</u>	<u>Response Time (Hrs)</u>	<u>Annual Burden (Hrs)</u>
1	400	1	2	800
2	400	1	1	400
3	400	2	2	800
4	300	2	2	600
5	300	1	1	300

Any comments concerning the accuracy of this burden estimate and any suggestions for reducing this burden may be directed to: Room 4112, Office of Crime Prevention and Security, Office of Public and Indian Housing, U.S. Department of Housing and Urban Development. 451 Seventh Street, SW, Washington, DC 20410.

## **Freedom of Information**

Applications submitted in response to this NOFA are subject to disclosure under the Freedom of Information Act (FOIA). To assist the Department in determining whether to release information contained in an application in the event that a FOIA request is received, an applicant may, through clear earmarking or otherwise, indicate those portions of its application that it believes should not be disclosed. The applicant's views will be used solely to aid the Department in preparing its response to a FOIA request; the Department is required by the FOIA to make an independent evaluation of the information.

HUD suggests that an applicant provide a basis, when possible, for its belief that confidential treatment is appropriate; general assertions or blanket requests for confidentiality, without more information, are of limited value to the Department in making determinations concerning the release of information under the FOIA. The Department is required to segregate disclosable information from non-disclosable items, so an applicant should be careful to identify each portion of the application for which confidential treatment is requested.

The department emphasizes that the presence or absence of comments or earmarking regarding confidential information will have no bearing on the evaluation of applications submitted in response to this solicitation.

## Application Submission

Technical assistance applications will be accepted until July 15, 1997, or until all program funds are expended, whichever is first. Awards will be made in the order in which consultant contracts are negotiated and funds obligated. Applications must be submitted to:

Drug Elimination Technical Assistance Program  
U.S. Department of Housing and Urban Development  
Office of Crime Prevention and Security  
451 Seventh Street SW, Room 4112  
Washington, DC 20401

## Before Submitting Your Application, Remember

- # An applicant already receiving TA under this program is only eligible to receive further technical assistance if HUD determines that the request creates no conflict with any other current TA request;
- # A consultant already providing TA to another applicant is eligible to provide TA only if HUD determines that the new assistance creates no conflict with any other TA the consultant is providing;
- # No consultant who assists an applicant in the preparation of a TA application, or writes a TA application will be contracted to provide TA for that same application; and
- # Applicants are not allowed to request specific consultants as part of their TA application. **Section 1(c)(3)(ii) of the NOFA.** HUD will choose appropriate consultants from the consultant database.

## Maximum Award and Period of Assistance

As outlined in **Section 1(c)(3) of the NOFA**, technical assistance will not exceed \$15,000 per request, except when authorized by HUD. Consultants will be reimbursed for a maximum of 30 days of work, which must be completed within a 90-day period from the date of the approved contract. Contracts that are not completed within the 90-day time period are subject to cancellation and the allocated program funds subject to reallocation.

If you have any questions about the TA program in general, or wish to receive additional copies of this kit, please contact the Drug Elimination Technical Assistance Program at (800) 578-3472 or (301) 251-5400. For further information public housing agency staff and residents can contact the Office of Crime Prevention and Security at HUD at (202) 708-1197 X4229 or X4237. Staff

and residents of Indian Housing Authorities can call Tracy Outlaw at the National Office of Native American Programs at 303-675-1600 X3323 (these are not toll free numbers). She may also be reached at the following address.

National Office of Native American Programs  
1999 Broadway Suite 3690  
Denver, CO 80202



## **SECTION II: APPLICATION INFORMATION**

### **How to Apply**

Complete the attached Application Kit using the forms provided in Section III of this publication. Your application must address each of the three scoring criterion and the specific questions for each factor. Try to answer the questions within the space provided, but if you need further space to discuss your request, please attach an additional sheet.

When you have completed the sheets, please read the Notice of Funding Availability (NOFA), especially Sections *I, III, and V* and sign the certification sheet. This sheet indicates that you will meet all the requirements of the program. You must also fill out the "Applicant/Recipient Disclosure/Update Report" (HUD Form-2880) and include this with your application. Instructions on how to fill out this form, along with an example, are included in this section. When you have finished all of the sheets, make and keep a photocopy, and send the completed application, certification sheet, and HUD-Form 2880 to HUD in Washington, D.C. (address on page 5). A copy of this application must also be forwarded to the HUD Field Office, if you are a public housing authority, or Office of Native American Programs, if you are an Indian housing authority. Incomplete applications will be returned to the applicant.

### **Scoring and Applicant Eligibility**

Applications must receive at least 8 points, with no less than 2 points in any of the three selection factors, to be eligible to receive TA. Applications with 0-7 points or less than 2 points in any scoring criterion will be returned to the applicant as an unsuccessful application. Applicants who do not receive sufficient points for assistance are encouraged to contact the Drug Elimination Technical Assistance Program at 301-251-5400 to discuss their application. TA program staff will work with applicants to improve the quality of their future applications.

## **SECTION IIA: INSTRUCTIONS**

### **Application Checklist**

For the convenience of the applicant a checklist has been provided to insure that all sections of the application have been completed before you put the application in the mail.

### **Application Letter**

These four pages are the substance of your request. This is the part of the application which allows you to describe your drug and crime problems, the services you need to combat these problems, and how the requested TA will strengthen your overall drug elimination efforts. Please use an additional sheet of paper (no more than one) if you need additional space.

### **Certification Sheet**

This sheet is the next sheet after the application letter. You must sign it. Signing it means that you understand the requirements of the program, as they are spelled out in the NOFA, and that you will comply with these requirements. Before you sign, read the NOFA to make sure that you are familiar with the rules. There are three very important rules that are spelled out on the certification sheet. Please make sure you can say Ayes≡ to each of these.

The sheet requires two signatures. If the applicant is a public or Indian housing authority, it must be signed by the HA=s chief executive officer and a representative of a resident council, resident management corporation, or if these organizations do not exist, a resident leader who will be involved in the TA. If the applicant is a resident council or resident management corporation it must be signed by the HA=s chief executive officer and the president of the resident group. Applications submitted without this form, or a form without signatures, will be considered incomplete and returned to the applicant without being scored.

### **HUD Form-2880**

This form, the "Applicant/Recipient Disclosure/Update Report" is easiest to fill out when you understand that the "specific project or activity to be assisted" means the technical assistance you are asking for. Thus, you are only making disclosures about this TA request. To answer each of the items on the form, follow these step-by-step instructions and review the sample form enclosed as Attachment B with this kit.

*Part I Applicant/Recipient Information.*

- 1) First, check the "Initial Report" box.
- 2) For #1, enter the address and telephone number of the applicant, and employer ID, or social security number of the organization making this application.
- 3) For #2, the name of the "Project Assisted/to be Assisted" should be the name of your organization with the words "Drug Elimination Technical Assistance" appended to its end.
- 4) For #3, briefly (eight words or less) explain what the TA will be used for. If you can not make that fit, enter "To acquire drug elimination technical assistance services"
- 5) For #4, type in "PHDEP Technical Assistance".
- 6) For #5, enter the program maximum of \$15,000. If your TA comes to a smaller amount, you can change it in an "Update Report".

*Part II Threshold Determinations*

- 1) If you will receive over \$200,000 in financial assistance from HUD, States and units of general local government (cities, towns, etc.) in the current calendar year (Jan-Dec), check "Yes".
- 2) If any of the housing developments that will ultimately receive assistance with this request receive any other form of government assistance, then check "Yes". If you checked "Yes" for either one of these, you must fill out Parts III, IV, and V.

**NOTE:** It is difficult to imagine any applicant for this program that will not check "Yes" in at least one of the above boxes. If, based on these Threshold Determinations, you do not think that this form covers your application, then you must certify that in this Part.

*Part III Other Government Assistance Provided/Requested*

- 1) Because the PHDEP TA program is designed to cover the entire cost of a short-term technical assistance project, there generally will not be other sources of government funds associated with the actual operation of your program. You should enter "NONE", as shown on the sample, and sign at the bottom to certify that fact.

*Part IV Interested Parties*

- 1) Enter Anone,≡ as per the provided example.

*Part V Report on Expected Sources and Uses of Funds*

- 1) Under the "Sources" heading, you should enter only what you see on the sample form.
- 2) Under the "Uses" heading, please describe, in a sentence or two, the Technical Assistance activities that will be carried out with TA funds, or follow the example provided on the sample form.

Sign and date the certification at the bottom of page 14, and enclose Pages 9-13, as well as HUD form 2880 with your application package the processing of your application. Call the Drug Elimination Technical assistance staff at (800) 578-3472 or (301) 251-5400 (this is not a toll free number) before submitting an incomplete application.

## **Attachment A: 1997 Technical Assistance NOFA**

## **Attachment B: Sample HUD-Form 2880**

# Applicant/Recipient Disclosure/Update Report

U.S. Department of Housing  
and Urban Development  
Office of Ethics

OMB Approval No. 2510-0011 (exp. 3/31/98)

**Instructions.** (See Public Reporting Statement and Privacy Act Statement and detailed instructions on page 4.)

## Part I Applicant/Recipient Information

Indicate whether this is an Initial Report ☒

or an Update Report ☐

1. Applicant/Recipient Name, Address, and Phone (include area code)

Your Agency's Name  
Address  
City, State, ZIP

Phone #  
FAX #

Social Security Number or  
Employer ID Number

2. Project Assisted/ to be Assisted (Project/Activity name and/or number and its location by Street address, City, and State)

(Your Agency's Name) Drug Elimination Technical Assistance

3. Assistance Requested/Received

Grant to contract technical assistance  
for drug elimination

4. HUD Program

PHDEP  
Technical Asst.

5. Amount Requested/Received

\$ \$15,000

## Part II. Threshold Determinations – Applicants Only

1. Are you requesting HUD assistance for a specific project or activity, as provided by 24 CFR Part 12, Subpart C, and have you received, or can you reasonably expect to receive, an aggregate amount of all forms of covered assistance from HUD, States, and units of general local government, in excess of \$200,000 during the Federal fiscal year (October 1 through September 30) in which the application is submitted?

☐ Yes

☐ No

If Yes, you must complete the remainder of this report.

If No, you must sign the certification below and answer the next question.

I hereby certify that this information is true. (Signature) \_\_\_\_\_ Date \_\_\_\_\_

2. Is this application for a specific housing project that involves other government assistance?

☐ Yes

☐ No

If Yes, you must complete the remainder of this report.

If No, you must sign this certification.

I hereby certify that this information is true. (Signature) \_\_\_\_\_ Date \_\_\_\_\_

If your answers to both questions are No, you do not need to complete Parts III, IV, or V, but you must sign the certification at the end of the report.

## Part III. Other Government Assistance Provided/Requested

Department/State/Local Agency Name and Address	Program	Type of Assistance	Amount Requested/Provided
None	XX	XX	XX

Is there other government assistance that is reportable in this Part and in Part V, but that is reported only in Part V? ☐ Yes ☐ No

If there is no other government assistance, you must certify that this information is true.

I hereby certify that this information is true. (Signature) \_\_\_\_\_ Date \_\_\_\_\_

**Part IV. Interested Parties**

Alphabetical list of all persons with a reportable financial interest in the project or activity (for individuals, give the last name first)

Social Security Number or Employee ID Number

Type of Participation in Project/Activity

Financial Interest in Project/Activity (\$ and %)

None

XX

XX

XX

If there are no persons with a reportable financial interest, you must certify that this information is true.

I hereby certify that this information is true. (Signature) \_\_\_\_\_ Date \_\_\_\_\_



**Part V. Report on Expected Sources and Uses of Funds**

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**Source**

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\$15,000.00 U.S. Department of Housing and Urban Development  
Drug Elimination Technical Assistance (TA)

If there are no sources of funds, you must certify that this information is true.

I hereby certify that this information is true. (Signature) \_\_\_\_\_ Date \_\_\_\_\_

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**Use**

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\$15,000.00 Procurement of technical assistance to improve  
current drug elimination efforts in (Your Agency's Name)

If there are no uses of funds, you must certify that this information is true.

I hereby certify that this information is true. (Signature) \_\_\_\_\_ Date \_\_\_\_\_

**Certification**

**Warning:** If you knowingly make a false statement on this form, you may be subject to civil or criminal penalties under Section 1001 of Title 18 of the United States Code. In addition, any person who knowingly and materially violates any required disclosure of information, including intentional non-disclosure, is subject to civil money penalty not to exceed \$10,000 for each violation.

I certify that this information is true and complete.

Signature

Date

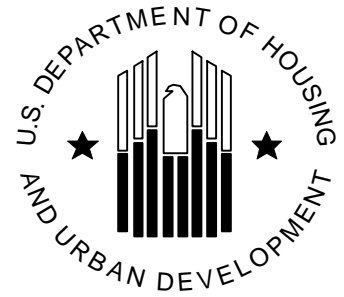
## **Section III:**

# **Application Forms and the 1997 Technical Assistance Application Kit**

## **Drug Elimination TA Application Checklist**

**Initials**

- \_\_\_\_\_ Have you included your phone and fax number on Page 1 of the application?
- \_\_\_\_\_ Have you provided the appropriate signatures on the signature and certification sheet?
- \_\_\_\_\_ Have you addressed all three scoring factors on Pages 2,3, and 4 of the application letter?
- \_\_\_\_\_ Have you completed HUD Form 2880 and provided the appropriate signatures?
- \_\_\_\_\_ Have you read and do you understand Sections I, III, and V of the attached NOFA?
- \_\_\_\_\_ Do you understand that this application is for up to \$15,000, that the level of assistance will be determined by HUD, and could be less than the \$15,000 ceiling?
- \_\_\_\_\_ Have you submitted a copy of this application to the HUD field office (FO) or Office of Native American Programs (ONAP) with jurisdiction over your housing authority.



## Request for Technical Assistance

U.S. Department of Housing and Urban Development  
Office of Public and Indian Housing  
Public Housing Drug Elimination Technical Assistance (TA) Program

### Application Letter

Applicants for technical assistance (TA) under this program are required to submit this application or an application letter of no more than three pages that addresses each of the selection criteria listed below. Please use this application (front and back) and attach an additional sheet if necessary. You must receive a minimum of 15 points total and 3 points in each factor for the application to be funded.

**Date:** \_\_\_\_\_

**Contact Person and Title:** \_\_\_\_\_

**Name of Organization:** \_\_\_\_\_

**Street or P.O. Address:** \_\_\_\_\_

**City, State and Zip Code:** \_\_\_\_\_

**Phone Number:** \_\_\_\_\_

**Fax Number:** \_\_\_\_\_

#### *Scoring Factors*

**Factor 1.** The extent to which the applicant needs short term technical assistance. This will be measured by the applicant's discussion of the problems that triggered the requests for assistance. (10 points)

**Factor 2.** The extent to which the applicant clearly describes the kind of technical assistance and skills needed to address the problems, and how well the technical assistance requested will address the problems. (10 points)

**Factor 3.** The likelihood that the requested technical assistance will assist the applicant's current drug elimination strategy, as described in the application; or, if the applicant does not currently have a strategy, the extent to which the technical assistance will help them develop a drug elimination strategy. (10 points)

# Request for Technical Assistance

(Page 2 of form)

U.S. Department of Housing and Urban Development  
Office of Public and Indian Housing  
Public Housing Drug Elimination Technical Assistance (TA) Program

***FACTOR 1.***     **The extent to which the applicant needs short term technical assistance. This will be measured by the applicant's discussion of the problems that triggered the requests for assistance.**

***NOTE TO THE APPLICANT:*** Your discussion of this factor must address at least 3 of these questions.

- 1)     What is the problem you want addressed by technical assistance?**
- 2)     How is that problem being exhibited in your community?**
- 3)     What elements are contributing to the problem?**
- 4)     How is the issue to be addressed by the TA related to the drug problem in your community?**
- 5)     If you are having difficulty identifying the problem, outline what difficulties or issues have prevented you from identifying the needs or problems.**

# Request for Technical Assistance

(Page 3 of form)

U.S. Department of Housing and Urban Development  
Office of Public and Indian Housing  
Public Housing Drug Elimination Technical Assistance (TA) Program

***FACTOR 2.***      **The extent to which the applicant clearly describes the kind of technical assistance and skills needed to address the problems, and how well the technical assistance requested will address the problems. (10 points)**

***NOTE TO THE APPLICANT:*** Your discussion under this factor should outline a solution to the problem that you described in the previous section. How would a consultant assist in developing a solution? Discuss the type of advice, training or consultation needed to find a solution. Refer to the list of skills on the back of the Consultant Resource Inventory Questionnaire found in Part III of this kit.

# Request for Technical Assistance

(Page 4 of form)

U.S. Department of Housing and Urban Development  
Office of Public and Indian Housing  
Public Housing Drug Elimination Technical Assistance (TA) Program

***FACTOR 3.***      **The likelihood that the requested technical assistance will assist the applicant's current drug elimination strategy, as described in the application; or, if the applicant does not currently have a strategy, the extent to which the technical assistance will help them develop a drug elimination strategy. (10 points)**

***NOTE TO THE APPLICANT:*** Describe the current steps being taken to address the drug problem. How will the proposed assistance support these efforts? If you have no current strategy, describe how the proposed assistance will allow you to develop a drug elimination strategy.

# Request for Technical Assistance

(Page 5 of form)

U.S. Department of Housing and Urban Development  
Office of Public and Indian Housing  
Public Housing Drug Elimination Technical Assistance (TA) Program

## Signature and Certification Sheet

The undersigned certifies the following:

Any technical assistance received will be used in compliance with all requirements in the Notice of Funding Availability (NOFA) for this program, published in **the Federal Register on including the following:**

- # A copy of this application was sent to the local HUD Field Office, Director of Public Housing, or Director of Native American Programs, as appropriate.
- # This application has been reviewed and signed by both the Housing Authority Director, and a resident leader.

Signature of Housing Authority CEO.	Typed Name of Representative and Date:

AND

Signature of Authorized Representative of RMC, RC, or RO	Typed Name of Representative and Date:



## Applicant/Recipient Disclosure/Update Report

**Instructions.** (See Public Reporting Statement and Privacy Act Statement and detailed instructions on page 4.)

## Part I Applicant/Recipient Information

Indicate whether this is an Initial Report ☐

or an Update Report ☐

1. Applicant/Recipient Name, Address, and Phone (include area code)

Social Security Number or  
Employer ID Number

2. Project Assisted/ to be Assisted (Project/Activity name and/or number and its location by Street address, City, and State)

### 3. Assistance Requested/Received

#### 4. HUD Program

5. Amount Requested/Received  
\$

## Part II. Threshold Determinations -- Applicants Only

1. Are you requesting HUD assistance for a specific project or activity, as provided by 24 CFR Part 12, Subpart C, **and** have you received, or can you reasonably expect to receive, an aggregate amount of all forms of covered assistance from HUD, States, and units of general local government, in excess of \$200,000 during the Federal fiscal year (October 1 through September 30) in which the application is submitted?

☐ Yes☐ No

If Yes, you must complete the remainder of this report.

If No, you must sign the certification below and answer the next question.

I hereby certify that this information is true. (Signature) \_\_\_\_\_ Date \_\_\_\_\_

2. Is this application for a specific housing project that involves other government assistance?

☐ Yes☐ No

If Yes, you must complete the remainder of this report.

If No, you must sign this certification.

I hereby certify that this information is true. (Signature) \_\_\_\_\_ Date \_\_\_\_\_

If your answers to both questions are No, you do not need to complete Parts III, IV, or V, but you must sign the certification at the end of the report.

**Part III. Other Government Assistance Provided/Requested**

Department/State/Local Agency Name and Address	Program	Type of Assistance	Amount Requested/Provided

Is there other government assistance that is reportable in this Part and in Part V, but that is reported only in Part V? ☐ Yes ☐ No

If there is no other government assistance, you must certify that this information is true.

I hereby certify that this information is true. (Signature) \_\_\_\_\_ Date \_\_\_\_\_

Part IV. Interested Parties

Alphabetical list of all persons with a reportable financial interest in the project or activity (for individuals, give the last name first)	Social Security Number or Employee ID Number	Type of Participation in Project/Activity	Financial Interest in Project/Activity (\$ and %)

If there are no persons with a reportable financial interest, you must certify that this information is true.  
I hereby certify that this information is true. (Signature) \_\_\_\_\_ Date \_\_\_\_\_

Source	Use
<p>If there are no sources of funds, you must certify that this information is true.</p> <p>I hereby certify that this information is true. (Signature) _____ Date _____</p>	<p>If there are no uses of funds, you must certify that this information is true.</p> <p>I hereby certify that this information is true. (Signature) _____ Date _____</p>

I hereby certify that this information is true. (Signature) \_\_\_\_\_ Date \_\_\_\_\_

I hereby certify that this information is true. (Signature) \_\_\_\_\_ Date \_\_\_\_\_

**Warning:** If you knowingly make a false statement on this form, you may be subject to civil or criminal penalties under Section 1001 of Title 18 of the United States Code. In addition, any person who knowingly and materially violates any required disclosure of information, including intentional non-disclosure, is subject to civil money penalty not to exceed \$10,000 for each violation.

Signature	Date
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**Public reporting burden** for this collection of information is estimated to average 2.5 hours per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Reports Management Officer, Paperwork Reduction Project (2510-0011), Office of Information Technology, U.S. Department of Housing and Urban Development, Washington, D.C. 20410-3600. This agency may not conduct or sponsor, and a person is not required to respond to, a collection information unless that collection displays a valid OMB control number.

**Do not send this form to the above address.**

**Privacy Act Statement.** Except for Social Security Numbers (SSNs) and Employer Identification Numbers (EINs), the Department of Housing and Urban Development (HUD) is authorized to collect all the information required by this form under section 102 of the Department of Housing and Urban Development Reform Act of 1989, 42 U.S.C. 3531. Disclosure of SSNs and EINs is optional. The SSN or EIN is used as a unique identifier. The information you provide will enable HUD to carry out its responsibilities under Sections 102(b), (c), and (d) of the Department of Housing and Urban Development Reform Act of 1989, Pub. L. 101-235, approved December 15, 1989. These provisions will help ensure greater accountability and integrity in the provision of certain types of assistance administered by HUD. They will also help ensure that HUD assistance for a specific housing project under Section 102(d) is not more than is necessary to make the project feasible after taking account of other government assistance. HUD will make available to the public all applicant disclosure reports for five years in the case of applications for competitive assistance, and for generally three years in the case of other applications. Update reports will be made available along with the disclosure reports, but in no case for a period generally less than three years. All reports, both initial reports and update reports, will be made available in accordance with the Freedom of Information Act (5 U.S.C. §552) and HUD's implementing regulations at 24 CFR Part 15. HUD will use the information in evaluating individual assistance applications and in performing internal administrative analyses to assist in the management of specific HUD programs. The information will also be used in making the determination under Section 102(d) whether HUD assistance for a specific housing project is more than is necessary to make the project feasible after taking account of other government assistance. You must provide all the required information. Failure to provide any required information may delay the processing of your application, and may result in sanctions and penalties, including imposition of the administrative and civil money penalties specified under 24 CFR §12.34.

**Note:** This form only covers assistance made available by the Department. States and units of general local government that carry out responsibilities under Sections 102(b) and (c) of the Reform Act must develop their own procedures for complying with the Act.

**Instructions** (See Note 1 on last page.)

**I. Overview.** Subpart C of 24 CFR Part 12 provides for (1) initial reports from applicants for HUD assistance and (2) update reports from recipients of HUD assistance. An overview of these requirements follows.

**A. Applicant disclosure (initial) reports: General.** All applicants for assistance from HUD for a specific project or activity must make a number of disclosures, if the applicant meets a dollar threshold for the receipt of covered assistance during the fiscal year in which the application is submitted. The applicant must also make the disclosures if it requests assistance from HUD for a specific housing project that involves assistance from other governmental sources.

Applicants subject to Subpart C must make the following disclosures:

- Assistance from other government sources in connection with the project,
- The financial interests of persons in the project,
- The sources of funds to be made available for the project, and
- The uses to which the funds are to be put.

**B. Update reports: General.** All recipients of covered assistance must submit update reports to the Department to reflect substantial changes to the initial applicant disclosure reports.

**C. Applicant disclosure reports: Specific guidance.** The applicant must complete all parts of this disclosure form if **either** of the following **two** circumstances in paragraph 1. or 2., below, applies:

1.a. **Nature of Assistance.** The applicant submits an application for assistance for a specific project or activity (See Note 2) in which:

HUD makes assistance available to a recipient for a specific project or activity; or

HUD makes assistance available to an entity (other than a State or a unit of general local government), such as a public housing agency (PHA), for a specific project or activity, where the application is required by statute or regulation to be submitted to HUD for any purpose; **and**

b. **Dollar Threshold.** The applicant has received, or can reasonably expect to receive, an aggregate amount of all forms of assistance (See Note 3) from HUD, States, and units of general local government, in excess of \$200,000 during the Federal fiscal year (October 1 through September 30) in which the application is submitted. (See Note 4)

2. The applicant submits an application for assistance for a specific housing project that involves other government assistance. (See Note 5) **Note:** There is no dollar threshold for this criterion: **any** other government assistance triggers the requirement. (See Note 6)

If the Application meets **neither** of these two criteria, the applicant need only complete Parts I and II of this report, as well as the certification at the end of the report. If the Application meets **either** of these criteria, the applicant must complete the entire report.

The applicant disclosure report must be submitted with the application for the assistance involved.

**D. Update reports: Specific guidance.** During the period in which an application for covered assistance is pending, or in which the assistance is being provided (as indicated in the relevant grant or other agreement), the applicant must make the following additional disclosures:

1. Any information that should have been disclosed in connection with the application, but that was omitted.
2. Any information that would have been subject to disclosure in connection with the application, but that arose at a later time, including information concerning an interested party that now meets the applicable disclosure threshold referred to in Part IV, below.
3. For changes in previously disclosed other government assistance:

For programs administered by the Assistant Secretary for Community Planning and Development, any change in other government assistance that exceeds the amount of such assistance that was previously disclosed by \$250,000 or by 10 percent of the assistance (whichever is lower).

For all other programs, any change in other government assistance that exceeds the amount of such assistance that was previously disclosed.

4. For changes in previously disclosed financial interests, any change in the amount of the financial interest of a person that exceeds the amount of the previously disclosed interests by \$50,000 or by 10 percent of such interests (whichever is lower).

5. For changes in previously disclosed sources or uses of funds:
- a. For programs administered by the Assistant Secretary for Community Planning and Development:

Any change in a source of funds that exceeds the amount of all previously disclosed sources of funds by \$250,000 or by 10 percent of those sources (whichever is lower); and

Any change in a use of funds under paragraph (b)(1)(iii) that exceeds the amount of all previously disclosed uses of funds by \$250,000 or by 10 percent of those uses (whichever is lower).

- b. For all programs, other than those administered by the Assistant Secretary for Community Planning and Development:

For projects receiving a tax credit under Federal, State, or local law, any change in a source of funds that was previously disclosed.

For all other projects, any change in a source of funds that exceeds the lower of:

The amount previously disclosed for that source of funds by \$250,000, or by 10 percent of the amount previously disclosed for that source, whichever is lower; or

The amount previously disclosed for all sources of funds by \$250,000, or by 10 percent of the amount previously disclosed for all sources of funds, whichever is lower.

- c. For all programs, other than those administered by the Assistant Secretary for Community Planning and Development:

For projects receiving a tax credit under Federal, State, or local law, any change in a use of funds that was previously disclosed.

For all other projects, any change in a use of funds that exceeds the lower of:

The amount previously disclosed for that use of funds by \$250,000, or by 10 percent of the amount previously disclosed for that use, whichever is lower; or

The amount previously disclosed for all uses of funds by \$250,000, or by 10 percent of the amount previously disclosed for all uses of funds, whichever is lower.

Note: Update reports must be submitted within 30 days of the change requiring the update. The requirement to provide update reports only applies if the application for the underlying assistance was submitted on or after the effective date of Subpart C.

## II. Line-by-Line Instructions.

### A. Part I. Applicant/Recipient Information.

All applicants for HUD assistance specified in Section I.C.1.a., above, as well as all recipients required to submit an update report under Section I.D., above, must complete the information required by Part I. The applicant/recipient must indicate whether the disclosure is an initial or an update report. Line-by-line guidance for Part I follows:

1. Enter the full name, address, city, State, zip code, and telephone number (including area code) of the applicant/recipient. Where the applicant/recipient is an individual, the last name, first name, and middle initial must be entered. Entry of the applicant/recipient's SSN or EIN, as appropriate, is optional.
2. Applicants enter the name and full address of the project or activity for which the HUD assistance is sought. Recipients enter the name and full address of the HUD-assisted project or activity to which the update report relates. The most appropriate government identifying number must be used (e.g., RFP No.; IFB No.; grant announcement No.; or contract, grant, or loan No.) Include prefixes.
3. Applicants describe the HUD assistance referred to in Section I.C.1.a. that is being requested. Recipients describe the HUD assistance to which the update report relates.

4. Applicants enter the HUD program name under which the assistance is being requested. Recipients enter the HUD program name under which the assistance, that relates to the update report, was provided.

5. Applicants enter the amount of HUD assistance that is being requested. Recipients enter the amount of HUD assistance that has been provided and to which the update report relates. The amounts are those stated in the application or award documentation. NOTE: In the case of assistance that is provided pursuant to contract over a period of time (such as project-based assistance under section 8 of the United States Housing Act of 1937), the amount of assistance to be reported includes all amounts that are to be provided over the term of the contract, irrespective of when they are to be received.

Note: In the case of Mortgage Insurance under 24 CFR Subtitle B, Chapter II, the mortgagor is responsible for making the applicant disclosures, and the mortgagee is responsible for furnishing the mortgagor's disclosures to the Department. Update reports must be submitted directly to HUD by the mortgagor.

Note: In the case of the Project-Based Certificate program under 24 CFR Part 882, Subpart G, the owner is responsible for making the applicant disclosures, and the PHA is responsible for furnishing the owner's disclosures to HUD. Update reports must be submitted through the PHA by the owner.

### B. Part II. Threshold Determinations — Applicants Only

Part II contains information to help the applicant determine whether the remainder of the form must be completed. **Recipients filing Update Reports should not complete this Part.**

1. The first question asks whether the applicant meets the Nature of Assistance and Dollar Threshold requirements set forth in Section I.C.1. above.

If the answer is Yes, the applicant must complete the remainder of the form. If the answer is No, the form asks the applicant to certify that its response is correct, and to complete the next question.

2. The second question asks whether the application is for a specific housing project that involves other government assistance, as described in Section I.C.2. above.

If the answer is Yes, the applicant must complete the remainder of the form. If the answer is No, the form asks the applicant to certify that its response is correct.

If the answer to both questions<sup>1</sup> and 2 is No, the applicant need not complete Parts III, IV, or V of the report, but must sign the certification at the end of the form.

### C. Part III. Other Government Assistance.

This Part is to be completed by both applicants filing applicant disclosure reports and recipients filing update reports. Applicants must report any other government assistance involved in the project or activity for which assistance is sought. Recipients must report any other government assistance involved in the project or activity, to the extent required under Section I.D.1., 2., or 3., above.

Other government assistance is defined in note 5 on the last page. For purposes of this definition, other government assistance is expected to be made available if, based on an assessment of all the circumstances involved, there are reasonable grounds to anticipate that the assistance will be forthcoming.

Both applicant and recipient disclosures must include all other government assistance involved with the HUD assistance, as well as any other government assistance that was made available before the request, but that has continuing vitality at the time of the request. Examples of this latter category include tax credits that provide for a number of years of tax benefits, and grant assistance that continues to benefit the project at the time of the assistance request.

The following information must be provided:

1. Enter the name and address, city, State, and zip code of the government agency making the assistance available. Include at least one organizational level below the agency name. For example, U.S. Department of Transportation, U.S. Coast Guard; Department of Safety, Highway Patrol.
2. Enter the program name and any relevant identifying numbers, or other means of identification, for the other government assistance.
3. State the type of other government assistance (e.g., loan, grant, loan insurance).
4. Enter the dollar amount of the other government assistance that is, or is expected to be, made available with respect to the project or activities for which the HUD assistance is sought (applicants) or has been provided (recipients).

If the applicant has no other government assistance to disclose, it must certify that this assertion is correct.

To avoid duplication, if there is other government assistance under this Part and Part V, the applicant/recipient should check the appropriate box in this Part and list the information in Part V, clearly designating which sources are other government assistance.

#### **D. Part IV. Interested Parties.**

This Part is to be completed by both applicants filing applicant disclosure reports and recipients filing update reports.

Applicants must provide information on:

- (1) All developers, contractors, or consultants involved in the application for the assistance or in the planning, development, or implementation of the project or activity and
- (2) any other person who has a financial interest in the project or activity for which the assistance is sought that exceeds \$50,000 or 10 percent of the assistance (whichever is lower).

Recipients must make the additional disclosures referred to in Section I.D.1., 2., or 4, above.

**Note:** A financial interest means any financial involvement in the project or activity, including (but not limited to) situations in which an individual or entity has an equity interest in the project or activity, shares in any profit on resale or any distribution of surplus cash or other assets of the project or activity, or receives compensation for any goods or services provided in connection with the project or activity. Residency of an individual in housing for which assistance is being sought is not, by itself, considered a covered financial interest.

The information required below must be provided.

1. Enter the full names and addresses of all persons referred to in paragraph (1) or (2) of this Part. If the person is an entity, the listing must include the full name of each officer, director, and principal stockholder of the entity. All names must be listed alphabetically, and the names of individuals must be shown with their last names first.
2. Entry of the Social Security Number (SSN) or Employee Identification Number (EIN), as appropriate, for each person listed is optional.
3. Enter the type of participation in the project or activity for each person listed: i.e., the person's specific role in the project (e.g., contractor, consultant, planner, investor).
4. Enter the financial interest in the project or activity for each person listed. The interest must be expressed both as a dollar amount and as a percentage of the amount of the HUD assistance involved.

If the applicant has no persons with financial interests to disclose, it must certify that this assertion is correct.

**5. Part V. Report on Sources and Uses of Funds.** This Part is to be completed by both applicants filing applicant disclosure reports and recipients filing update reports.

The applicant disclosure report must specify all expected sources of funds — both from HUD and from any other source — that have been, or are to be, made available for the project or activity. Non-HUD sources of funds typically include (but are not limited to) other government assistance referred to in Part III, equity, and amounts from foundations and private contributions. The report must also specify all expected uses to which funds are to be put. All sources and uses of funds must be listed, if, based on an assessment of all the circumstances involved, there are reasonable grounds to anticipate that the source or use will be forthcoming.

Note that if any of the source/use information required by this report has been provided elsewhere in this application package, the applicant need not repeat the information, but need only refer to the form and location to incorporate it into this report. (It is likely that some of the information required by this report has been provided on SF 424A, and on various budget forms accompanying the application.) If this report requires information beyond that provided elsewhere in the application package, the applicant must include in this report all the additional information required.

Recipients must submit an update report for any change in previously disclosed sources and uses of funds as provided in Section I.D.5., above.

**General Instructions — sources of funds**

Each reportable source of funds must indicate:

- a. The name and address, city, State, and zip code of the individual or entity making the assistance available. At least one organizational level below the agency name should be included. For example, U.S. Department of Transportation, U.S. Coast Guard; Department of Safety, Highway Patrol.
- b. The program name and any relevant identifying numbers, or other means of identification, for the assistance.
- c. The type of assistance (e.g., loan, grant, loan insurance).

**Specific instructions — sources of funds.**

(1) For programs administered by the Assistant Secretaries for Fair Housing and Equal Opportunity and Policy Development and Research, each source of funds must indicate the total amount of approved, and received; and must be listed in descending order according to the amount indicated.

(2) For programs administered by the Assistant Secretaries for Housing-Federal Housing Commissioner, Community Planning and Development, and Public and Indian Housing, each source of funds must indicate the total amount of funds involved, and must be listed in descending order according to the amount indicated.

(3) If Tax Credits are involved, the report must indicate all syndication proceeds and equity involved.

**General instructions—uses of funds.**

Each reportable use of funds must clearly identify the purpose to which they are to be put. Reasonable aggregations may be used, such as “total structure” to include a number of structural costs, such as roof, elevators, exterior masonry, etc.

**Specific instructions -- uses of funds.**

(1) For programs administered by the Assistant Secretaries for Fair Housing and Equal Opportunity and Policy Development and Research, each use of funds must indicate the total amount of funds involved; must be broken down by amount committed, budgeted, and planned; and must be listed in descending order according to the amount indicated.

(ii) For programs administered by the Assistant Secretaries for Housing-Federal Housing Commissioner, Community Planning and Development, and Public and Indian Housing, each use of funds must indicate the total amount of funds involved and must be listed in descending order according to the amount involved.

(iii) If any program administered by the Assistant Secretary for Housing-Federal Housing Commissioner is involved, the report must indicate all uses paid from HUD sources and other sources, including syndication proceeds. Uses paid should include the following amounts.

**AMPO**

Architect's fee — design  
Architect's fee — supervision  
Bond premium  
Builder's general overhead  
Builder's profit  
Construction interest  
Consultant fee  
Contingency Reserve  
Cost certification audit fee  
FHA examination fee  
FHA inspection fee  
FHA MIP  
Financing fee  
FNMA / GNMA fee  
General requirements  
Insurance  
Legal — construction  
Legal — organization  
Other fees  
Purchase price  
Supplemental management fund  
Taxes  
Title and recording  
Operating deficit reserve  
Resident initiative fund  
Syndication expenses  
Working capital reserve  
Total land improvement  
Total structures

Uses paid from syndication must include the following amounts:

Additional acquisition price and expenses  
Bridge loan interest  
Development fee  
Operating deficit reserve  
Resident initiative fund  
Syndication expenses  
Working capital reserve

**Footnotes:**

1. All citations are to 24 CFR Part 12, which was published in the Federal Register on March 14, 1991 at 56 Fed. Reg. 11032.
2. A list of the covered assistance programs can be found at 24 CFR §12.30, or in the rules or administrative instructions governing the program involved. Note: The list of covered programs will be updated periodically.
3. Assistance means any contract, grant, loan, cooperative agreement, or other form of assistance, including the insurance or guarantee of a loan or mortgage, that is provided with respect to a specific project or activity under a program administered by the Department. The term does not include contracts, such as procurements contracts, that are subject to the Federal Acquisition Regulation (FAR) (48 CFR Chapter 1).
4. See 24 CFR §§12.32 (a)(2) and (3) for detailed guidance on how the threshold is calculated.
5. "Other government assistance" is defined to include any loan, grant, guarantee, insurance, payment, rebate, subsidy, credit, tax benefit, or any other form of direct or indirect assistance from the Federal government (other than that requested from HUD in the application), a State, or a unit of general local government, or any agency or instrumentality thereof, that is, or is expected to be made, available with respect to the project or activities for which the assistance is sought.
6. For further guidance on this criterion, and for a list of covered programs, see 24 CFR §12.50.
7. For purposes of Part 12, a person means an individual (including a consultant, lobbyist, or lawyer); corporation; company; association; authority; firm; partnership; society; State, unit of general local government, or other government entity, or agency thereof (including a public housing agency); Indian tribe; and any other organization or group of people.